

PATENT
28944/38284



**IN THE UNITED STATES PATENT
AND TRADEMARK OFFICE**

Applicant(s):

Tortelier, et al.

Serial No.: 10/070,854

Filed: March 8, 2002

**For: Method of Decoding and of Joint Equalization
of A Digital Signal Protected By A Code Defined By
A Trellis**

Group Art Unit: 2121

Examiner: Unassigned

) I hereby certify that this paper is being
) deposited with the United States Postal
) Service with sufficient postage as first
) class mail in an envelope addressed to:
) Commissioner for Patents, Washington,
) D.C. 20231 on this date: **July 1, 2002.**

Thomas A. Miller
Registration No. 40,091
Attorney for Applicant(s)

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INFORMATION DISCLOSURE STATEMENT

Commissioner for Patents
Washington, D.C. 20231

Sir:

The patents and/or publications listed on the enclosed PTO Form 1449 are submitted pursuant to 37 CFR §§ 1.56, 1.97, and 1.98.

TIME OF FILING

This information disclosure statement is being filed:

- ☒ 1. with the application or within three months of the filing date of the application or date of entry into the national stage of an international application or, to the best of the undersigned's knowledge, before the mailing date of a first Office Action on the merits, whichever event occurs last. In accordance with 37 CFR §1.97(b), no certification or fee is required.
- ☐ 2. after the time period specified in paragraph 1 above, but, to the best of the undersigned's knowledge, before the mailing date of a final action under 37 CFR §1.113 or notice of allowance under 37 CFR §1.311. Therefore, in accordance with 37 CFR §1.97(c), submitted herewith is:

(check either A or B below)

- A. a certification as specified in 37 CFR §1.97(e).
- B. the fee set forth in 37 CFR §1.17(p) for submission of an information disclosure statement under 37 CFR §1.97(c).
- ☐ 3. after the mailing date of either a final action under 37 CFR §1.113 or a notice of allowance under 37 CFR §1.311, whichever occurs first, but before payment of the issue fee. Therefore, Applicant submits herewith:
- A. a certification as specified in 37 CFR §1.97(e);
- B. the petition fee set forth in 37 CFR §1.17(i); and
- C. the accompanying petition under 37 CFR §1.97(d).

CERTIFICATION

(only used if No. 2 or No. 3 above is checked)

The person(s) signing below certify

(check appropriate paragraph)

that each item of information contained in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this statement. 37 CFR §1.97(e)(1).

OR

that no item of information contained in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application or, to the knowledge of the person signing the certification after making reasonable inquiry, was known to any individual designated in 37 CFR §1.56(c) more than three months prior to the filing of this statement. 37 CFR §1.97(e)(2).

PETITION

(only used if No. 3 above is checked)

Applicant(s) hereby petition(s) pursuant to 37 C.F.R. § 1.97(d) that this Information Disclosure Statement, Form PTO-1449, and document(s) identified therein be considered.

PRIOR AND RELATED APPLICATIONS

In accordance with 37 CFR §1.98(d), copies of the patents and publications listed on the enclosed PTO Form-1449 are not provided because the patents and publications were previously cited by, or submitted to, the Patent Office in a prior application that Applicant(s) rely upon for an earlier filing date under 35 U.S.C. §120. Documents listed on the attached Form PTO-1449 were cited by, or submitted to, the examiner of the following patent application(s):

Applicant(s):
Serial No.
Filing Date:
Title:
Status:

Other applications related to application Serial No. are:

Applicant(s):
Serial No.
Filing Date:
Title:
Status:

METHOD OF PAYMENT

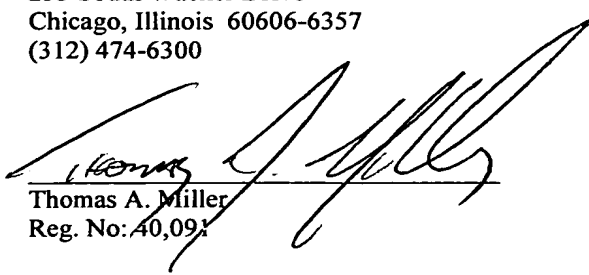
- ☒ No fee is required.
☐ Attached is a check in the amount of \$_____.

The Commissioner is authorized to charge any fee deficiency required by this paper, or credit any overpayment, to Deposit Account No. 13-2855. A copy of this paper is enclosed.

Respectfully submitted,

MARSHALL, GERSTEIN & BORUN
6300 Sears Tower
233 South Wacker Drive
Chicago, Illinois 60606-6357
(312) 474-6300

By:


Thomas A. Miller
Reg. No: 40,091

July 1, 2002

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PTO/SB/21 (08-00)

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TRANSMITTAL FORM (to be used for all correspondence after initial filing)		Application Number	10/070,854
		Filing Date	March 8, 2002
		First Named Inventor	Tortelier, et al.
		Group Art Unit	2121
		Examiner Name	Unassigned
Total Number of Pages in This Submission	4	Attorney Docket Number	28944/38284

ENCLOSURES (check all that apply)

<input type="checkbox"/> Fee Transmittal Form <input type="checkbox"/> Fee Attached <input type="checkbox"/> Amendment/Reply <input type="checkbox"/> After Final <input type="checkbox"/> Affidavits/declaration(s) <input type="checkbox"/> Extension of Time Request <input type="checkbox"/> Express Abandonment Request <input checked="" type="checkbox"/> Information Disclosure Statement <input type="checkbox"/> Certified Copy of Priority Document(s) <input type="checkbox"/> Response to Missing Parts/Incomplete Application <input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53	<input type="checkbox"/> Assignment Papers (for an Application) <input type="checkbox"/> Drawing(s) <input type="checkbox"/> Licensing-related Papers <input type="checkbox"/> Petition <input type="checkbox"/> Petition to Convert to a Provisional Application <input type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address <input type="checkbox"/> Terminal Disclaimer <input type="checkbox"/> Request for Refund <input type="checkbox"/> CD, Number of CD(s) _____	<input type="checkbox"/> After Allowance Communication to Group <input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences <input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief) <input type="checkbox"/> Proprietary Information <input type="checkbox"/> Status Letter <input type="checkbox"/> Other Enclosure(s) (please identify below)
Remarks		RECEIVED JUL 18 2002 Technology Center 2100 RECEIVED SEP 11 2002

SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT

Firm or Individual Name	Marshall, Gerstein & Borun 6300 Sears Tower 233 South Wacker Drive Chicago, IL 60606-6357
Signature	Thomas A. Miller, Reg. No. 40,091
Date	July 1, 2002

I hereby certify that this correspondence is being deposited with the U.S. Postal Service as first class mail, in an envelope addressed to: Commissioner for Patents, Washington, DC 20231, on the date shown below.

Dated: July 1, 2002 Signature: Thomas A. Miller (Name of Signer) Thomas A. Miller

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Substitute for form 1449A/PTO				Complete if Known	
INFORMATION DISCLOSURE STATEMENT BY APPLICANT (use as many sheets as necessary)				Application Number	10/070,854
				Filing Date	June 13, 2002
				First Named Inventor	Tortelier, et al.
				Art Unit	2121
				Examiner Name	Unassigned
Sheet	1	of	1	Attorney Docket Number	28944/38284

U. S. PATENT DOCUMENTS					
Examiner Initials*	Cite No. ¹	Document Number Number-Kind Code ² (if known)	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
	A1				
	A2				
	A3				

FOREIGN PATENT DOCUMENTS					
Examiner Initials*	Cite No. ¹	Foreign Patent Document Country Code ³ -Number ⁴ -Kind Code ⁵ (if known)	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
	B1	EP 0 758 167	02/12/1987	Tortelier	
	B2	EP 0 858 196	08/12/1998	Perreau, et al.	
	B3	EP 0 889 612	01/07/1999	Wei	

Examiner Signature		Date Considered	
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*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant

¹ Applicant's unique citation designation number (optional). ² See attached Kinds Codes of USPTO Patent Documents at www.uspto.gov or MPEP 901.04. ³ Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). ⁴ For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the application number of the patent document. ⁵ Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. ⁶ Applicant is to place a check mark here if English language Translation is attached.

OTHER PRIOR ART – NON PATENT LITERATURE DOCUMENTS			
Examiner Initials*	Cite No. ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T ²
	C1	HASHIMOTO, T. "A List-Type Reduced-Constraint Generalization of the Viterbi Algorithm". <u>IEEE Transactions on Information Theory</u> , U. S., IEEE, Inc., New York, NY, Vol. 33, No. 6, Nov. 1987, pp. 866-876.	
	C2	DUEL-HALLEN A., et al. "Delayed Decision-Feedback Sequence Estimation". <u>IEEE Transactions on Communications</u> , U. S., IEEE, Inc., New York, NY, Vol. 37, No. 5, May 1989, pp. 428-436.	
	C3	CHEVILLAT, P., et al. "Decoding of Trellis-Encoded Signals in the Presence of Intersymbol Interference and Noise". <u>IEEE Transactions on Communications</u> , U. S., IEEE, Inc., New York, NY, Vol. 37, No. 7, July 1989, pp. 669-676.	
	C4	EYUBOGLU, M. Vedat, et al. "Reduced-State Sequence Estimation for Coded Modulation on Intersymbol Interference Channels". <u>IEEE Journal on Selected Areas In Communications</u> , U. S., New York, NY, Vol. 7, No. 6, August 1989, pp. 989-995.	
	C5	KOHNO, et al. "An Automatic Equalizer Including A Viterbi Decoder for Trellis-Coded Modulation System". <u>International Conference on Acoustics, Speech & Signal Processing, ICASSP</u> , U. S., New York, NY, IEEE, Inc., Vol. 14, 1989, pp. 1368-1371.	
	C6	International Search Report issued by the European Patent Office for International Application No. PCT/FR00/02491, report dated October 25, 2000.	

Examiner Signature		Date Considered	
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